

NAVSEA SOURCE SELECTION GUIDE

APPENDIX 1

CERTIFICATION OF NO ACTUAL OR
APPEARANCE OF A
CONFLICT OF INTEREST

**CERTIFICATION OF NO ACTUAL OR
APPEARANCE OF A CONFLICT OF INTEREST**

From:

Solicitation Number:

Solicitation Title:

The applicable offerors (and major subcontractors as defined by FAR 15.404-3(c)(1)) are:

Accordingly, please review and sign below, as applicable:

I have read the enclosed summary and understand the restrictions that apply to working on matters in which I may have an actual conflict of interest or an appearance of a conflict of interest.

SIGNATURE

DATE

- Neither I nor, to my knowledge, any persons whose financial interests are imputed to me have a financial interest in any of the companies that have been identified to me as either a proposed prime or major subcontractor on the source selection team to which I have been appointed. If circumstances change, I understand that I am required to cease working on the procurement, and to notify the Contracting Officer and the Source Selection Authority as soon as possible.
- To my knowledge, none of the persons who are members of my household have a financial interest in any of the companies that have been identified to me as either a proposed prime or major subcontractor on the source selection team to which I have been appointed. If circumstances change, I understand that I am required to cease working on the procurement and to notify the Source Selection Authority and the Contracting Officer as soon as possible
- To my knowledge, none of the persons with whom I have a covered relationship are either a representative of or an employee of any of the companies that have been identified to me as either a proposed prime or major subcontractor on the source selection team to which I have been appointed. If circumstances change, I understand that I am required to cease working on the procurement and to notify the Contracting Officer and the Source Selection Authority as soon as possible.

SIGNATURE

DATE

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- I am unable to certify to some or all of the above as I believe I may have an actual or appearance of a conflict of interest.

SIGNATURE

DATE

SUMMARY OF ACTUAL AND APPEARANCE OF A CONFLICT

Actual Conflict: [18 U.S.C. § 208\(a\)](#) is a criminal statute. This statute prohibits you, as an executive branch employee, from taking official action with respect to a particular matter in which, to your knowledge, you or any other person whose financial interests are imputed to you, has a financial interest

Persons whose financial interests are imputed to you include:

- (1) Your spouse;
- (2) Your minor child;
- (3) Your General Partner;
- (4) An organization in which you are serving as an officer, director, trustee, general partner or employee; or
- (5) Any person with who you are negotiating or have any arrangement concerning prospective employment.

Financial interests include, but are not limited to, stocks, bonds, employment, pensions, retirement plans, 401(k) plans, individual retirement accounts (IRAs), variable life insurance policies, variable annuities, and trusts.

If you receive information regarding the underlying investments of your assets, you are deemed to have knowledge of these investments. For example, if you have an IRA, or a 401(k) plan, you likely receive information where these funds are invested. Similarly, if you own a variable life insurance policy or a variable annuity, these instruments invest in other companies; you likely receive information where these funds are invested.

One such investment may be a diversified mutual fund. Diversified mutual funds are exempt from the conflict of interest laws, but sector funds are not. Sector fund means a mutual fund that concentrates its investments in an industry, business, country other than the United States, or single State within the United States. If you do not know whether the fund is a sector fund, you can check the fund's prospectus or call the manager of the fund.

Appearance of a Conflict: Under [5 C.F.R. § 2635.502](#), an appearance of a conflict exists if you take official action with respect to a particular matter, and

- (1) A member of your household has a financial interest in that matter; or
- (2) A person with whom you have a "covered relationship" is or represents a party to that matter.

Covered relationship includes the following:

- (a) A member of your household (e.g., parent, spouse, significant other, adult/minor child, roommate);
- (b) A relative with whom you have a close personal relationship. Relative means father, mother, son, daughter, brother, sister, uncle, aunt, first cousin, nephew, niece, husband, wife, father-in-law, mother-in-law, son-in-law, daughter-in-law, brother-in-law, sister-in-law, stepfather, stepmother, stepson, stepdaughter, stepbrother, stepsister, half brother or half sister;
- (c) A person for whom your spouse, parent, or child is serving, or is seeking to serve as an employee, officer, director, trustee, general partner, agent, attorney, consultant, or contractor;
- (d) A person with whom you have or seek a business, contractual, or other financial relationship (other than a routine consumer transaction, such as you and your neighbor are co-owners of a boat);
- (e) A person for whom you, within the last year, served as an officer, director, trustee, general partner, agent, attorney, consultant, contractor or employee; or
- (f) An organization in which you are an active participant, such as committee or subcommittee chairperson or spokesperson.